

*JFW*

***Certification under 37 CFR 1.8(a)***

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with The United States Postal Service with sufficient postage as first class mail in an envelope addressed to THE COMMISSIONER FOR PATENTS, P.O. Box 1450, Alexandria, VA 22313-1450 on October 4, 2006.

Brian W. Hameder (Reg. No. 45,613)  
Name

  
Signature

DOCKET: CU-4970

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Naoko SAWATARI et al.

Serial No.: 10/587,069

Group Art Unit:

Filed: July 21, 2006

Examiner:

For: LIQUID CRYSTAL DISPLAY

THE COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT WITHIN THREE  
MONTHS OF FILING OR BEFORE MAILING OF FIRST OFFICE ACTION**

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of the first Office Action on the merits, whichever event occurs last. 37 CFR 1.97(b).

Date: October 4, 2006

  
Signature of Attorney

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Reg. No. 45613



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**INFORMATION DISCLOSURE STATEMENT**

Applicants submit herewith patents, publications or other information of which the applicants are aware, which may be material to the examination of this application and in respect of which there may be a duty to disclose under 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

The references submitted herein are listed on PTO-1449 form (modified) enclosed herewith. A copy of each reference listed is being furnished except any duplicate or cumulative patents or publications specified otherwise. Also, if the present application was filed after June 30, 2003, copies of US patents or published applications are not submitted in accordance with the USPTO Rule changes.

A translation of any foreign language reference, if any, is indicated in PTO-1449 form and being submitted herein if it is readily available. Otherwise it should be construed that such translation is not readily available.

Additional comments, if any, on the relevance of each reference listed are provided as follows:

**Also submitted herein is a copy of the PCT Search Report which satisfies the requirement for a translation or concise explanation of any non-English reference cited therein, as provided in MPEP §609 A(3).**

The Statement is made on the basis of the information:

supplied by the inventor(s);  
 supplied by an individual associated with the filing and prosecution  
of this application (37 CFR 1.56(c)); or  
 in the attorney's file.

Respectfully submitted,



Date: October 4, 2006

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**Form PTO-1445 (Modified)**

FORM PTO-1449	ATTY. DOCKET NO. <b>CU-4970</b>	SERIAL NO. <b>10/587,069</b>
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT <b>Naoko SAWATARI et al</b>
(37 CFR 1.98(b))	FILING DATE <b>July 21, 2006</b>	GROUP

## U.S. PATENT DOCUMENTS

**FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION**

FOREIGN PATENT OR PUBLICATION FOREIGN PATENT INFORMATION						
EXAMINER INITIAL	DOCUMENT NUMBER	PUBL. DATE	COUNTRY OR PATENT OFFICE	CLASS	SUB-CLASS	TRANSLATION YES   NO
	JP 11-84390	03/26/99	Japan			
	JP 2003-098529	04/03/03	Japan			
	JP 2003-073562	03/12/03	Japan			
	JP 2003-005223	01/08/03	Japan			

**OTHER DOCUMENTS (Including Author, Title, Date, Place of publication)**

Nonaka, T., et al. (1999) Material characteristics of an active matrix LCD based upon chiral smectics. *Journal of Liquid Crystals.* 26:1599-1602.

Patel, J.S. et al. (1986) Alignment of liquid crystals which exhibit cholesteric to smectic C\* phase transitions. *J. Appl. Phys.* 59:2355-2360.

(Form PTO-1449)